



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: Peppel

Filed: Filed 12/12/2000

Serial No. 09/735,586

Title: Electronic Trading Card

Group: 2132

Examiner: Benjamin Lanier

Attorney Docket; OOMP0001C

February 2, 2004

**CERTIFICATION FOR  
INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(e)**

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Technology Center 2100

Dear Sir:

A certification is being made for the Information Disclosure Statement accompanying this certification.

**CERTIFICATION**

I, the person signing below, certify

( X ) that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. (37 CFR 1.97(e)(1))

( ) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 CFR 1.97(e)(2).

The person making this certification is the attorney who signs below on the basis of the information:

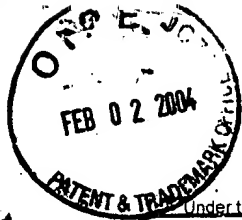
- ☐ supplied by the inventor(s)
- ☐ supplied by an individual designated in §1.56(c)
- ☒ in the attorney's file

Respectfully submitted,



Michael A. Glenn  
Reg. No. 30,176

Customer Number 22862



02-04-04

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A 17  
02-04

PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/735,586
Filing Date	12/12/2000
First Named Inventor	Peppel
Art Unit	2132
Examiner Name	Lanier, Benjamin
Attorney Docket Number	OOMP0001C

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please identify below): |
|--|--|--|

**Remarks**

Documents in transmittal:  
- Information Disclosure Statement;  
- 1449 Form;  
- Certification Under 37 CFR 1.57(e);  
- Cited references; and  
- Return Postcard

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**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Michael A. Glenn, Reg. No. 30, 176, Customer No. 22862
Signature	
Date	February 2, 2004

**CERTIFICATE OF TRANSMISSION/MAILING**

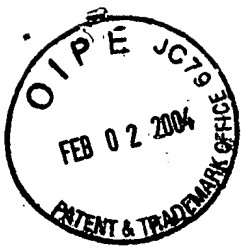
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

U.S. Express Mail Label: EV 378719932 US

Typed or printed name	Rhonda Dunn
Signature	
Date	February 2, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Application of:** Peppel  
**Serial No. :** 09/735,586  
**Filed:** 12/12/2000  
**Title:** Electronic Trading Card

**Docket No.:** OOMP0001C  
**Art Unit:** 2132  
**Examiner:** Lanier, Benajmin

Feb. 2, 2004

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Mail Stop IDS  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.97(b), or  
(within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☒ under 37 CFR 1.97(c) together with either a:
  - ☒ Certification under 37 CFR 1.97(e), or
  - ☐ a \$220.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
  - ☐ Certification under 37 CFR 1.97(e), and
  - ☐ a \$220.00 fee under 37 CFR 1.17(d)(2)(ii), and

( ) a \$130.00 petition fee set forth in 37 CFR 1.17(i)(1)

(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

(X) The Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account No. 07-1445 (Order No. OOMP0001C). A copy of this sheet is enclosed for accounting purposes.

(X) Applicant(s) submit herewith Form PTO 1449 -- Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.25.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 156(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

Respectfully Submitted,



Michael Glenn  
Attorney For Applicant  
Reg. No. 30,176

Customer No. 22862



<b>Form 1449 (Modified)</b>  <b>Information Disclosure Statement By Applicant</b>	Attorney Docket No.: OOMP0001C		Serial No.: 09/735,586
	Applicant: Peppel		Examiner: Lanier, Benajmin
	Filing Date: 12/12/2000		Group: 2132

### U.S. Patent Documents

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub- class	Filing Date

### Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub- class	Translation	
							Yes	No

### Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
	A	Miura, Takashi (Inventor): Appln. No. 62-155332; Appln. Date 6/24/1987; Laid-open Pub. Date 12/27/1988; Laid-open Pub. No 63-318979.
	B	Himomi Watanabe & Yasunori Maruyama (Inventor): Appln. No 5-117231; Appln. Date 5/19/1993; Laid-open Pub. Date 11/29/1994; Laid-open Pub. No 6-327835.
	C	Akiyoshi Kuroiwa (Inventor): Appln. No 5-77769; Appln. Date 3/10/1993; Laid-open Pub. Date 9/13/1994; Laid-open Pub. No 6-254259.
	D	Tetsuji Shimotori (Inventor): Appln. No 3-296002; Appln. Date 11/12/1991; Laid-open Pub. Date 6/1/1996; Laid-open Pub. No 5-135233.
	E	Miyaji Tsumura (Inventor): Appln. No: 4-156008; Appln. Date 5/21/1992; Laid-open Pub. Date 12/7/1993; Laid-open Pub. No 5-324509.
	F	Shinichi Ando (Inventor): Appln. No: 3-242602; Appln. Date 8/28/1991; Laid-open Pub. Date 3/2/1993; Laid-open Pub. No. 5-49755.

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to applicant.

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